

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

|                        |  |
|------------------------|--|
| Attorney Docket No.    | 67493/52   |
| First Inventor         | Banqiu Wu et al.                                   |
| Title                  | Endpoint Detection of Plasma-Assisted Etch Process |
| Express Mail Label No. | EV-034640382-US                                    |

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

## ADDRESS TO:

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 46]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 12]
5. Oath or Declaration [Total Sheets 2]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) name in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ Paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☒ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: .....

Prior application information:

Examiner

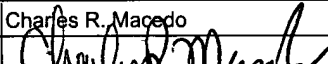
Art Unit:

For CONTINUATION OF DIVISIONAL APPS only; The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☐ Customer Number:  OR ☐ Correspondence address below

|         |                                   |              |                  |
|---------|-----------------------------------|--------------|------------------|
| Name    | Charles R. Macedo, Esq.           |              |                  |
| Address | Amster, Rothstein & Ebenstein LLP |              |                  |
|         | 90 Park Avenue                    |              |                  |
| City    | New York,                         | State        | NY               |
| Country | U.S.A.                            | Zip Code     | 10016            |
|         | Telephone                         | 212-336-8000 | Fax 212-336-8001 |

|                   |   |                                   |                 |
|-------------------|---|-----------------------------------|-----------------|
| Name (Print/Type) | Charles R. Macedo   | Registration No. (Attorney/Agent) | 32,781          |
| Signature         |  | Date                              | August 20, 2003 |

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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03917 U.S. PTO

10/644356



1671 U.S. PTO  
08/20/03

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# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 2,104.00

## Complete if Known

|                      |                 |
|----------------------|-----------------|
| Application Number   | To Be Assigned  |
| Filing Date          | August 20, 2003 |
| First Named Inventor | Banqu Wu et al. |
| Examiner Name        | To Be Assigned  |
| Art Unit             | To Be Assigned  |
| Attorney Docket No.  | 67493/52        |

## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number: 01-1785  
Deposit Account Name: Amster, Rothstein & Ebenstein LLP

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity<br>Fee Code (\$) | Small Entity<br>Fee Code (\$) | Fee Description        | Fee Paid     |
|-------------------------------|-------------------------------|------------------------|--------------|
| 1001 750                      | 2001 375                      | Utility filing fee     | 750.00       |
| 1002 330                      | 2002 165                      | Design filing fee      |              |
| 1003 520                      | 2003 260                      | Plant filing fee       |              |
| 1004 750                      | 2004 375                      | Reissue filing fee     |              |
| 1005 160                      | 2005 80                       | Provisional filing fee |              |
| SUBTOTAL (1)                  |                               |                        | (\$ ) 750.00 |

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims 93 -20\*\* = 73 X 18 = 1314  
Independent Claims 3 -3\*\* = 0 X 0 = 0  
Multiple Dependent ☐ = ☐

| Large Entity<br>Fee Code (\$) | Small Entity<br>Fee Code (\$) | Fee Description  | Fee Paid       |
|-------------------------------|-------------------------------|--|----------------|
| 1202 18                       | 2202 9                        | Claims in excess of 20                                     |                |
| 1201 84                       | 2201 42                       | Independent claims in excess of 3                          |                |
| 1203 280                      | 2203 140                      | Multiple dependent claim, if not paid                      |                |
| 1204 84                       | 2204 42                       | ** Reissue independent claims over original patent         |                |
| 1205 18                       | 2205 9                        | ** Reissue claims in excess of 20 and over original patent |                |
| SUBTOTAL (2)                  |                               |  | (\$ ) 2,064.00 |

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Small Entity

| Fee Code (\$) | Fee Code (\$) | Fee Description  | Fee Paid |
|---------------|---------------|--|----------|
| 1051 130      | 2051 65       | Surcharge - late filing fee or oath  |          |
| 1052 50       | 2052 25       | Surcharge - late provisional filing fee or cover sheet                     |          |
| 1053 130      | 1053 130      | Non-English specification  |          |
| 1812 2,520    | 1812 2,520    | For filing a request for ex parte reexamination                            |          |
| 1804 920*     | 1804 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 1805 1,840*   | 1805 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 1251 110      | 2251 55       | Extension for reply within first month                                     |          |
| 1252 410      | 2252 205      | Extension for reply within second month                                    |          |
| 1253 930      | 2253 465      | Extension for reply within third month                                     |          |
| 1254 1,450    | 2254 725      | Extension for reply within fourth month                                    |          |
| 1255 1,970    | 2255 985      | Extension for reply within fifth month                                     |          |
| 1401 320      | 2401 160      | Notice of Appeal   |          |
| 1402 320      | 2402 160      | Filing a brief in support of an appeal                                     |          |
| 1403 280      | 2403 140      | Request for oral hearing   |          |
| 1451 1,510    | 1451 1,510    | Petition to institute a public use proceeding                              |          |
| 1452 110      | 2452 55       | Petition to revive - unavoidable   |          |
| 1453 1,300    | 2453 650      | Petition to revive - unintentional   |          |
| 1501 1,300    | 2501 650      | Utility issue fee (or reissue)   |          |
| 1502 470      | 2502 235      | Design issue fee   |          |
| 1503 630      | 2503 315      | Plant issue fee  |          |
| 1460 130      | 1460 130      | Petitions to the Commissioner  |          |
| 1807 50       | 1807 50       | Processing fee under 37 CFR 1.17(q)  |          |
| 1806 180      | 1806 180      | Submission of Information Disclosure Stmt                                  |          |
| 8021 40       | 8021 40       | Recording each patent assignment per property (times number of properties) | 40.00    |
| 1809 750      | 2809 375      | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 1810 750      | 2810 375      | For each additional invention to be examined (37 CFR 1.129(b))             |          |
| 1801 750      | 2801 375      | Request for Continued Examination (RCE)                                    |          |
| 1802 900      | 1802 900      | Request for expedited examination of a design application                  |          |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 40.00

## SUBMITTED BY

(Complete (if applicable))

|                   |                   |                                   |                 |           |              |
|-------------------|-------------------|-----------------------------------|-----------------|-----------|--------------|
| Name (Print/Type) | Charles R. Macedo | Registration No. (Attorney/Agent) | 32,781          | Telephone | 212-336-8000 |
| Signature         |                   | Date                              | August 20, 2003 |           |              |

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This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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\*NOT ADMITTED IN NEW YORK

August 20, 2003

via **EXPRESS MAIL**

Mail Stop **PATENT APPLICATION**  
Commissioner for Patents  
P.O. Box 1450  
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Date of Deposit: August 20, 2003

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Name: Jung S. Hahm

Signature: 

Re: New U.S. Patent Application  
Title: **ENDPOINT DETECTION OF  
PLASMA-ASSISTED ETCH PROCESS**  
Inventors: Banqiu Wu and Y. David Chan  
Our File: 67493/52

Sir:

Enclosed please find a non-provisional application for Letters Patent in the names of Banqiu Wu and Y. David Chan, entitled **ENDPOINT DETECTION OF PLASMA-ASSISTED ETCH PROCESS**.

The materials enclosed comprise the following:

1. Specification - 46 pages including the Claims and Abstract of the Disclosure;
2. Drawings - 12 sheets;
3. An executed Declaration and Power of Attorney (4 pages);
4. An executed Assignment, Recordation Form Cover Sheet and a check for \$2,104.00 which includes the \$40.00 fee to cover the

August 20, 2003

recordation fee and further includes the filing fee and extra claims fee associated with this application;

5. Utility Patent Application Transmittal form and Fee Transmittal form;
6. An Information Disclosure Statement/PTO-1449 and copies of cited references that are not U.S. patents or patent application publications;<sup>1</sup> and
7. A return postcard.

Please return the enclosed postcard upon receipt. If there is any deficiency in the cost of filing, please charge our Deposit Account No. 01-1785 and if there is any overpayment, please credit the same. A duplicate copy of this letter is enclosed.

Respectfully submitted,

AMSTER, ROTHSTEIN & EBENSTEIN  
Attorneys for Applicant  
90 Park Avenue  
New York, New York 10016  
Tel: (212) 336-8000

By: 

Charles R. Macedo

Registration No. 32,781

Dated: New York, New York  
August 20, 2003

PS: Please note that due to the recent change in telephone and fax lines of our offices, our new telephone number is (212) 336-8000, and our new facsimile number is (212) 336-8001.

CRM/JSH  
Enclosures

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<sup>1</sup> According to the July 11, 2003 Pre-OG Notice from the Office of Patent Legal Administration, the U.S. Patent Office has waived the requirement under 37 C.F.R. § 1.98(a)(2)(i) for submitting a copy of each cited U.S. patent and each U.S. patent application publication for all U.S. national patent applications filed after June 30, 2003.